

1. Is there a person in your agency who is responsible for coordinating and overseeing the implementation of the records management program? (36 CFR 1220.34(a))

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
Total			1	

2. Please provide the person's name, position title, and office.

Text Response

John B. Elli, CRM Agency Records Officer Office of Environmental Information, Office of Information Collection

3. Does your agency have a records management directive(s)? (36 CFR 1220.34(c))

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
Total			1	

4. When was your agency's directive(s) last reviewed and/or revised to ensure it includes all new records management policy issuances and guidance?

#	Answer	Bar	Response	%
1	FY 2015 - present		1	100%
2	FY 2013 - 2014		0	0%
3	FY 2011 - 2012		0	0%
4	FY 2010 or earlier		0	0%
5	Do not know		0	0%
7	Not applicable, agency does not have a records management directive		0	0%
Total			1	

5. Has your agency updated its records management directives and/or policies to reflect changes to the Federal Records Act (Public Law 113-187)?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	No, unaware of these changes		0	0%
4	Under development		0	0%
5	Do not know		0	0%
6	Other, please explain		0	0%
Total			1	

Other, please explain

6. Has your agency's records management program established strategic goals and objectives?

#	Answer	Bar	Response	%
7	Yes		1	100%
8	No		0	0%
9	To some extent		0	0%
10	Do not know		0	0%
Total			1	

7. Does the leadership and management of your agency recognize records and information management as a priority?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	To some extent		0	0%
4	Do not know		0	0%
Total			1	

8. Does your agency have a network of designated employees within each program and administrative area who are assigned records management responsibilities? These individuals are often called Records Liaison Officers (RLOs) though their titles may vary. (36 CFR 1220.34(d))

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, please explain		0	0%
Total			1	

Not applicable, please explain

9. Does your agency have internal records management training*, based on agency policies and directives, for employees assigned records management responsibilities? (36 CFR 1220.34(f)) *Includes NARA's records management training workshops that were customized specifically for your agency or use of the Federal Records Officer Network (FRON) RM 101 course.

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, please explain		0	0%
Total			1	

Not applicable, please explain

10. Has your agency developed internal, staff-wide, formal training*, based on agency policies and directives, which helps agency employees and contractors fulfill their recordkeeping responsibilities? (36 CFR 1220.34(f)) *Includes NARA's records management training workshops that were customized specifically for your agency or use of the Federal Records Officer Network (FRON) RM 101 course.

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, please explain		0	0%
Total			1	

Not applicable, please explain

11. Has your agency developed internal, staff-wide, formal training*, based on agency policies and directives, on the retention and management of records created and maintained in electronic formats? (36 CFR 1220.34(f)) *Includes NARA's records management training workshops that were customized specifically for your agency.

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, please explain		0	0%
Total			1	

Not applicable, please explain

12. Has your agency developed internal, staff-wide, formal training*, based on agency policies and directives, on the retention and management of records created through electronic communications including email, text messages, chat, or other messaging platforms or apps, such as social media or mobile device applications? (36 CFR 1220.34(f)) *Includes NARA's records management training workshops that were customized specifically for your agency.

#	Answer	Bar	Response	%
1	Yes	<div></div>	1	100%
2	No		0	0%
3	Do not know		0	0%
5	Not applicable, please explain		0	0%
Total			1	

Not applicable, please explain

13. Does your agency require that all senior and appointed officials, including those incoming and newly promoted, receive training on the importance of appropriately managing records under their immediate control? (36 CFR 1220.34(f))

#	Answer	Bar	Response	%
1	Yes	<div></div>	1	100%
2	No		0	0%
3	Do not know		0	0%
Total			1	

14. Is the records management training described in questions 9 through 13 mandatory?

#	Answer	Bar	Response	%
1	Yes	<div></div>	1	100%
2	To Some Extent		0	0%
3	No		0	0%
4	Do not know		0	0%
5	Not applicable, agency has not developed internal records management training		0	0%
Total			1	

15. Which staff members are required to complete the records management training described in questions 9 through 13? (Choose all that apply)

#	Answer	Bar	Response	%
2	Agency employees	<div></div>	1	100%
3	Contractors	<div></div>	1	100%
4	Senior officials	<div></div>	1	100%
5	Employees assigned records management responsibilities	<div></div>	1	100%
6	Do not know		0	0%

16. Is records management training included in the new hire in-processing for new employees in your agency?

#	Answer	Bar	Response	%
1	Yes	<div></div>	1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, agency has not developed internal records management training		0	0%
Total			1	

17. Please add any additional comments about your agency for Section I: Program Activities. (Optional)

Text Response

While EPA's Records Policy has always noted that records can be created in any format, the policy was revised to emphasize text messages as one of those formats. All Senior Officials are briefed by the Agency Records Officer or their RLO and it is made clear that the creation of a record is based on the content of the information, not the format. EPA has a guidance document and an FAQ for saving records from mobile devices. This information is communicated to staff by Records Alerts and Quarterly Records Management Days, Mandatory Records Management Training and is posted on the Agency's Records Management Website. EPA also revised its records policy to include the following language in addition to sending an alert to the records network and posting the information on the Intranet: "EPA strongly discourages the use of personal email or other personal electronic messaging systems, including text messaging on a personal mobile device, for sending or receiving Agency records, but to the extent such use occurs, the individual creating or sending the record from a non-EPA electronic messaging system must copy their EPA email account at the time of transmission or forward that record to their EPA email account within 20 days of creation or sending and it must be saved as a record using EZ Email Records, or another approved recordkeeping system." In addition, the Agency developed a checklist for Separating and Transferring Personnel that reminds EPA personnel of all the locations and media where records may be located. EPA personnel are required to complete this form and save the records into an Agency Recordkeeping System before they transfer or leave the Agency. They must also have the form signed by their supervisor and RLO. Senior Officials' checklists must be signed by their respective Information Management Officials (IMOs) before they leave the Agency to ensure that all records are captured into a record-keeping system or turned over to successors.

18. In addition to your agency's established records management policies and records schedules, has your agency's records management program developed and implemented internal controls to ensure that all eligible, permanent agency records in all media are transferred to NARA according to approved records schedules? (36 CFR 1222.26(e)) ** These controls must be internal to your agency. Reliance on information from external agencies (for example, NARA's Federal Records Centers) or other organizations should not be considered when responding to this question.

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, please explain		0	0%
Total			1	
Not applicable, please explain				

19. Please select the control activities your agency performs to ensure that all eligible permanent records in all media are transferred to NARA. (Choose all that apply)

#	Answer	Bar	Response	%
1	Regular briefings and other meetings with records creators		1	100%
2	Approval process for transfer notices from Federal Records Centers		1	100%
3	Monitoring and testing of file plans		0	0%
4	Regular review of records inventories		1	100%
5	Internal tracking database of permanent record authorities and dates		1	100%
6	Other, please explain		0	0%
Other, please explain				

20. In addition to your agency's established policies and records schedules, has your agency developed and implemented internal controls to ensure that Federal records are not destroyed before the end of their retention period? (36 CFR 1222.26(e)) ** These controls must be internal to your agency. Reliance on information from external agencies (for example, NARA's Federal Records Centers) or other organizations should not be considered when responding to this question.

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, please explain		0	0%
Total			1	
Not applicable, please explain				

21. Please select the control activities your agency performs to ensure that Federal records are not destroyed before the end of their retention period. (Choose all that apply)

#	Answer	Bar	Response	%
1	Regular review of records inventories		0	0%
2	Approval process for disposal notices from off-site storage		1	100%
3	Require certificates of destruction		1	100%
4	Monitoring shredding services		0	0%
5	Performance testing for email		0	0%
6	Monitoring and testing of file plans		0	0%
7	Pre-authorization from records management program before records are destroyed		0	0%
8	Ad hoc monitoring of trash and recycle bins		1	100%
9	Notification from facilities staff when large trash bins or removal of boxes are requested		0	0%
10	Annual records clean out activities sponsored and monitored by records management staff		0	0%
11	Other, please explain		1	100%
Other, please explain				

The discussion of preventing unauthorized destruction is included in the Records Briefings given to Senior Officials and Political Appointees and in the mandatory agency-wide records management training. RLOs from programs and regions must review all requests to destroy records. A reminder about unauthorized destruction is also posting on the EPA Records Website.

22. Does your records management staff have oversight over records created at the highest levels of your agency (i.e. those of Agency Heads and appropriate advisors, and executive support staff) in order to ensure they are created, maintained, captured, preserved, and, when applicable, properly transferred to NARA? (36 CFR 1220)

#	Answer	Bar	Response	%
1	Yes	<div></div>	1	100%
2	No		0	0%
3	Other, please explain		0	0%
Total			1	

Other, please explain

23. Does your agency evaluate, by conducting inspections/audits/reviews, its records management program to ensure that it is efficient, effective, and compliant with all applicable records management laws and regulations? ** For this question, your agency's records management program, or a major component of the program (e.g., vital records identification and management, the records disposition process, records management training, or the management of your agency's electronic records) must be the primary focus of the inspection/audit/review.

#	Answer	Bar	Response	%
1	Yes	<div></div>	1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, please explain		0	0%
Total			1	

Not applicable, please explain

24. How often is your records management program, or a major component of your program, evaluated for compliance with agency records management policies and procedures?

#	Answer	Bar	Response	%
1	Every 1 - 2 years		0	0%
2	Every 3 - 4 years		0	0%
3	Every 5 years	<div></div>	1	100%
4	More than every 5 years		0	0%
5	Do not know		0	0%
7	Not applicable, agency does not evaluate its records management program		0	0%
Total			1	

25. Was a written report prepared as part of the most recent inspection/audit/review?

#	Answer	Bar	Response	%
1	Yes	<div></div>	1	100%
2	No		0	0%
3	Do not know		0	0%
5	Not applicable, agency does not evaluate its records management program		0	0%
Total			1	

26. Do your agency's evaluation procedures include creating plans of corrective action that are monitored for implementation?

#	Answer	Bar	Response	%
1	Yes	<div></div>	1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, agency does not evaluate its records management program		0	0%
Total			1	

27. Has your agency established performance goals for its records management program?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Currently under development		0	0%
4	Do not know		0	0%
5	Not applicable, please explain		0	0%
Total			1	100%

Not applicable, please explain

28. Please describe your agency's records management program's performance goals.

Text Response

- Update Agency Records Policy - Consolidate records schedules - Update the Records internet site - Make a determination regarding the use of Capstone - Complete mandatory records management training for all EPA employees and contractors - Develop electronic tools to capture records from the desk top

29. Please describe the progress your agency has made towards identifying performance goals for its records management program. Include the time frame for completion in your remarks.

Text Response

30. Has your agency's records management program identified performance measures for records management activities such as training, records scheduling, permanent records transfers, etc.?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Currently under development		0	0%
4	Do not know		0	0%
5	Not applicable, please explain		0	0%
Total			1	100%

Not applicable, please explain

31. Which of these input measures do you collect to monitor your records management program's performance? (Choose all that apply)

#	Answer	Bar	Response	%
1	Percentage of records scheduled		1	100%
2	Percentage of staff trained in records management		1	100%
3	Percentage of offices evaluated/inspected for records management compliance		0	0%
4	Percentage of email management auto-classification rates		0	0%
5	Development of new records management training modules		1	100%
6	Audits of internal systems		0	0%
7	Annual updates of file plans		0	0%
8	Performance testing for email applications to ensure records are captured		1	100%
9	Do not know		0	0%
10	Other, please explain		0	0%

Other, please explain

32. Please describe the progress your agency has made towards identifying performance measures for its records management program. Include the time frame for completion in your remarks.

Text Response

33. Does your agency's records management program have documented and approved policies and procedures that instruct staff on how your agency's permanent records in all formats must be managed and stored? (36 CFR 1222.34(e))

#	Answer	Bar	Response	%
1	Yes	<div></div>	1	100%
2	No		0	0%
3	Do not know		0	0%
Total			1	

34. Has your agency identified the vital records of all its program and administrative areas? (36 CFR 1223.16)

#	Answer	Bar	Response	%
1	Yes	<div></div>	1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, please explain		0	0%
Total			1	

Not applicable, please explain

35. How often does your agency review and update its vital records inventory? (36 CFR 1223.14)

#	Answer	Bar	Response	%
1	Annually	<div></div>	1	100%
2	Every 2 - 3 years		0	0%
3	Every 4 - 6 years		0	0%
4	Never		0	0%
5	Do not know		0	0%
Total			1	

36. Is your vital records plan part of the Continuity of Operations (COOP) plan?

#	Answer	Bar	Response	%
1	Yes	<div></div>	1	100%
2	No		0	0%
3	Do not know		0	0%
Total			1	

37. Please add any additional comments about your agency for Section II: Oversight and Compliance. (Optional)

Text Response

EPA posts all the program's and region's essential (vital) records on a COOP network share drive as well as a COOP SharePoint site, to ensure that they are available to essential personnel during COOP exercises and in case they are needed during an actual emergency/disaster.

38. When was the last time your agency submitted a records schedule to the National Archives?

#	Answer	Bar	Response	%
1	FY 2013 -- 2015	<div></div>	1	100%
2	FY 2010 -- 2012		0	0%
3	FY 2007 -- 2009		0	0%
4	FY 2006 or earlier		0	0%
7	Do not know, please explain		0	0%
Total			1	

Do not know, please explain

39. Has your agency ever submitted a records schedule for approval using the Electronic Records Archives (ERA)?

#	Answer	Bar	Response	%
1	Yes	<div></div>	1	100%
2	No	<div></div>	0	0%
3	Do not know	<div></div>	0	0%
Total			1	

40. Does your agency disseminate every approved disposition authority (including newly approved records schedules and General Records Schedule Items) to agency staff within six months of approval? (36 CFR 1226.12(a))

#	Answer	Bar	Response	%
1	Yes	<div></div>	1	100%
2	No	<div></div>	0	0%
3	Do not know	<div></div>	0	0%
Total			1	

41. Did your agency transfer permanent non-electronic records to NARA during FY 2015? (36 CFR 1235.12)

#	Answer	Bar	Response	%
1	Yes	<div></div>	1	100%
2	No	<div></div>	0	0%
4	No - No records were eligible for transfer during 2015	<div></div>	0	0%
5	No - New agency, records are not yet old enough to transfer	<div></div>	0	0%
7	Do not know	<div></div>	0	0%
8	Other, please explain	<div></div>	0	0%
9	No - My agency does not have any permanent non-electronic records	<div></div>	0	0%
Total			1	

Other, please explain

42. Did your agency transfer permanent electronic records to NARA during FY 2015? (36 CFR 1235.12)

#	Answer	Bar	Response	%
1	Yes	<div></div>	1	100%
2	No	<div></div>	0	0%
4	No - No electronic records/systems were eligible for transfer during FY 2015	<div></div>	0	0%
5	No - New agency, electronic records/systems are not old enough to transfer	<div></div>	0	0%
7	Do not know	<div></div>	0	0%
8	Other, please explain	<div></div>	0	0%
9	No - My agency does not have any permanent electronic records	<div></div>	0	0%
Total			1	

Other, please explain

43. Were the permanent electronic records transferred during FY 2015 using the Electronic Records Archives (ERA)?

#	Answer	Bar	Response	%
1	Yes	<div></div>	1	100%
2	No	<div></div>	0	0%
3	Do not know	<div></div>	0	0%
Total			1	

44. Does your agency have a method for estimating the volume in bytes of permanent electronic records currently being maintained by your agency?

#	Answer	Bar	Response	%
1	Yes			
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, my agency does not have any permanent electronic records		0	0%
Total			1	100%
			1	

45. When will these permanent electronic records be eligible for transfer to NARA? (Choose all that apply)

#	Answer	Bar	Response	%
1	FY 2016			
2	FY 2017		1	100%
3	FY 2018		1	100%
4	FY 2019		1	100%
5	FY 2020		1	100%
6	After FY 2020		1	100%
7	Do not know, please explain		1	100%
8	Not applicable, my agency does not have any permanent electronic records		0	0%
			0	0%

Do not know, please explain

46. Does your agency track when its permanent records (regardless of format) are due to be transferred to NARA?

#	Answer	Bar	Response	%
1	Yes			
2	No		1	100%
3	Do not know		0	0%
4	Not applicable, please explain		0	0%
Total			0	0%
			1	

Not applicable, please explain

47. What methods does your agency use to track its permanent records? (Choose all that apply)

#	Answer	Bar	Response	%
1	Rely on Federal Records Center notifications			
2	Maintain an inventory		1	100%
3	Database or other automated tracking		1	100%
4	Manual tracking		1	100%
5	Other, please explain		1	100%
			1	100%

Other, please explain

The National Records Management Program (NRMP) works with NARA staff to track the annual move of permanent electronic and non electronic records due for transfer to NARA. Each year, the NRMP sends a reminder about the requirement to the RLOs. RLOs work with their program or region to ensure that the permanent records are not subject to any litigation holds, FOIA or congressional requests. Transfer documentation is prepared by NRMP in coordination with RLOs, next NRMP works with NARA staff to transfer paper records from Federal Records Centers (FRCs) and electronic records via ERA, or other approved methods.

48. Does your agency store inactive temporary and/or permanent records in a commercial records storage facility?

#	Answer	Bar	Response	%
1	Yes			
2	No		1	100%
3	Do not know		0	0%
Total			0	0%
			1	

49. Does the facility comply with the standards prescribed by 36 CFR 1234?

#	Answer	Bar	Response	%
1	Yes	<div></div>	1	100%
2	No	<div></div>	0	0%
3	Do not know	<div></div>	0	0%
Total			1	

50. Does your agency store inactive temporary and/or permanent records in an agency records center? (Note: This does NOT include agency staging areas and temporary holding areas.)

#	Answer	Bar	Response	%
1	Yes	<div></div>	1	100%
2	No	<div></div>	0	0%
3	Do not know	<div></div>	0	0%
Total			1	

51. Does the records center comply with the standards prescribed by 36 CFR 1234?

#	Answer	Bar	Response	%
1	Yes	<div></div>	1	100%
2	No	<div></div>	0	0%
3	Do not know	<div></div>	0	0%
Total			1	

52. Does your agency store inactive temporary and/or permanent records in an agency records staging or holding area?

#	Answer	Bar	Response	%
4	Yes	<div></div>	1	100%
5	No	<div></div>	0	0%
6	Do not know	<div></div>	0	0%
Total			1	

53. Does the staging or holding area(s) comply with the standards prescribed by 36 CFR 1234? *It is not required but encouraged that staging or holding areas comply with 36 CFR 1234.

#	Answer	Bar	Response	%
4	Yes	<div></div>	0	0%
5	No	<div></div>	0	0%
6	Do not know	<div></div>	1	100%
Total			1	

54. Does your agency provide exit briefings for senior officials on the appropriate disposition of the records, including email, under their immediate control? (36 CFR 1230.10(a & b))

#	Answer	Bar	Response	%
1	Yes	<div></div>	1	100%
2	No	<div></div>	0	0%
3	Do not know	<div></div>	0	0%
4	Not applicable, please explain	<div></div>	0	0%
Total			1	

Not applicable, please explain.

55. Who is involved in the exit briefings? (Choose all that apply)

#	Answer	Bar	Response	%
1	Agency Records Officer		0	0%
2	Senior Agency Official for Records Management		0	0%
3	Chief Information Officer		0	0%
4	Other, please explain		1	100%

Other, please explain

The Agency developed a checklist for Separating and Transferring Personnel that reminds EPA personnel of all the locations and media where records may be located. EPA personnel are required to complete this form and save the records into an Agency Recordkeeping System before they transfer or leave the Agency. They must also have the form signed by their supervisor and RLO. Senior Officials' checklists must be signed by their respective Information Management Officials (IMOs) before they leave the Agency to ensure that all records are captured into a recordkeeping system or turned over to successors. The completed and signed forms are maintained by the employee's RLO.

56. Are the exit briefings documented for purposes of accountability?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, agency does not provide exit briefings for senior officials		0	0%
Total			1	

57. Upon separation, are senior officials required to obtain approval from records management program staff or other designated official(s) before removing personal papers and copies of records?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No, please explain		0	0%
3	Do not know		0	0%
Total			1	

No, please explain

58. Please add any additional comments about your agency for Section III: Records Disposition. (Optional)

Text Response

Question 57: Senior Officials are allowed to remove personal papers without approval but they are not allowed to remove copies of records without approval. Question 45: Generally, EPA's permanent electronic systems are transferred annually. Other permanent electronic records are transferred in accordance with NARA approved records schedules.

59. Has your agency incorporated and/or integrated internal controls to ensure the reliability, authenticity, integrity, and usability of agency electronic records maintained in electronic information systems? (36 CFR 1236.10)

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, please explain		0	0%
Total			1	

Not applicable, please explain

60. Does your agency have documented and approved procedures to enable the migration of records and associated metadata to new storage media or formats so that records are retrievable and usable as long as needed to conduct agency business and to meet NARA-approved dispositions? (36 CFR 1236.20(b)(6))

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
Total			1	

61. Are records management staff involved in developing procedures to ensure that records are properly migrated from retired systems?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, please explain		0	0%
Total			1	

No, please explain

62. Does your agency maintain an inventory of electronic information systems that indicates whether or not each system is covered by an approved NARA disposition authority? (36 CFR 1236.26(a))

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No, please explain		0	0%
3	Do not know		0	0%
Total			1	

No, please explain

63. Does your agency ensure that records management functionality, including the capture, retrieval, and retention of records according to agency business needs and NARA-approved records schedules, is incorporated into the design, development, and implementation of its electronic information systems? (36 CFR 1236.12)

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No, please explain		0	0%
3	Do not know		0	0%
4	Not applicable, please explain		0	0%
Total			1	

No, please explain

Not applicable, please explain

64. Does your agency's records management program staff participate in the design, development, and implementation of new electronic information systems?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	To Some Extent		0	0%
3	No, please explain		0	0%
4	Do not know		0	0%
6	Not applicable, please explain		0	0%
Total			1	

No, please explain

Not applicable, please explain

65. Which of these activities does your agency's records management program staff participate in to ensure that records requirements are part of the recommended solution? (Choose all that apply)

#	Answer	Bar	Response	%
1	Participate in review and acceptance of proposals for new systems	<div></div>	1	100%
2	Participate as stakeholder in requirements gathering	<div></div>	1	100%
3	Participate as stakeholder in design phase	<div></div>	1	100%
4	Participate as stakeholder in development phase including testing the system	<div></div>	1	100%
5	Provide sign off authority for the implementation of new systems		0	0%
6	Monitor system for adherence to standards, policies, and procedures		0	0%
7	Provide information only		0	0%
8	Do not know		0	0%
10	Other, please explain		0	0%

Other, please explain

66. Does your agency have documented and approved policies and procedures in place to handle email records that have a retention period longer than 180 days? (36 CFR 1236.22)

#	Answer	Bar	Response	%
1	Yes	<div></div>	1	100%
2	No, please explain		0	0%
3	Do not know		0	0%
Total			1	

No, please explain

67. Does your agency have documented and approved policies and procedures to implement the guidelines for the transfer of permanent email records to NARA described in NARA 2014-04: Appendix A, Revised Format Guidance for the Transfer of Permanent Electronic Records – Tables of File Formats Section 9 - Email (<http://www.archives.gov/records-mgmt/policy/transfer-guidance-tables.html>)?

#	Answer	Bar	Response	%
1	Yes	<div></div>	1	100%
2	No		0	0%
3	Do not know		0	0%
Total			1	

68. Do employees in your agency have more than one agency-administered email account? (NARA Bulletin 2013.02)

#	Answer	Bar	Response	%
1	Yes	<div></div>	1	100%
2	No		0	0%
3	Do not know		0	0%
Total			1	

69. Does your agency have documented and approved policies that address these types of accounts and that state that email records must be preserved in an appropriate agency recordkeeping system? (36 CFR 1236.22(b))

#	Answer	Bar	Response	%
1	Yes	<div></div>	1	100%
2	No		0	0%
3	Do not know		0	0%
Total			1	

70. Does your agency allow the use of personal email accounts to conduct official business? (36 CFR 1236.22(b))

#	Answer	Bar	Response	%
1	Yes		0	0%
2	No	<div></div>	1	100%
3	Do not know		0	0%
Total			1	

71. Does your agency have documented and approved policies that address the use of personal email accounts that state that all emails created and received by such accounts must be preserved in an appropriate agency recordkeeping system and that a complete copy of all email records created and received by users of these accounts must be forwarded to an official electronic messaging account of the officer or employee no later than 20 days after the original creation or transmission of the record? (36 CFR 1236.22(b) and P.L. 113-187)

#	Answer	Bar	Response	%
1	Yes		0	0%
2	No		0	0%
3	Do not know		0	0%
Total			0	

72. Does your agency's email system(s) retain the intelligent full names on directories or distribution lists to ensure identification of the sender and addressee(s) for those email messages that are Federal records? (36 CFR 1236.22(a)(3))

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
Total			1	

73. What method(s) does your agency employ to capture and manage email records? (Choose all that apply)

#	Answer	Bar	Response	%
1	Print and file		1	100%
2	Captured and stored as .PST		0	0%
3	Captured and stored in an electronic records management system		1	100%
4	Captured and stored in an email archiving system		1	100%
5	Not captured and email is managed by the end-user in the native system		0	0%
6	Other, please be specific		0	0%

Other, please be specific

74. Does your agency audit staff compliance with the agency's email preservation policies?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
Total			1	

75. Who audits staff compliance with the agency's email preservation policies? (Choose all that apply)

#	Answer	Bar	Response	%
1	Inspector General		0	0%
2	Chief Information Officer		0	0%
3	Agency Records Officer		0	0%
4	Other, please explain		1	100%
5	Do not know		0	0%

Other, please explain

The Enterprise Content Management System (ECMS) Program Management Office (PMO) staff and programs and regional RLOs monitor records counts and appropriate record schedule usage.

76. How often does your agency audit staff compliance with the agency's email preservation policies?

#	Answer	Bar	Response	%
1	Every 6 months		1	100%
2	Every year		0	0%
3	Every 2 years		0	0%
4	Less frequently than every 2 years		0	0%
5	Do not know		0	0%
6	Not applicable, agency does not audit staff compliance		0	0%
Total			1	

77. Does your agency plan to adopt the "Capstone" approach to managing email records as specified in NARA Bulletin 2013-02, Guidance on a New Approach to Managing Email Records?

#	Answer	Bar	Response	%
1	Yes		0	0%
2	No, please explain		0	0%
3	Do not know		1	100%
Total			1	
No, please explain				

78. Have you submitted a retention schedule for identifying "Capstone" accounts for approval by NARA?

#	Answer	Bar	Response	%
5	Yes		0	0%
6	No, please explain		0	0%
7	Do not know		0	0%
8	Not applicable, planning to use GRS 6.1: Email Managed Under a Capstone Approach		0	0%
Total			0	
No, please explain				

79. Does your agency have documented and approved policies and procedures in place to manage electronic messages including: text messages, chat/instant messages, voice messages, and messages created in social media tools or applications?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Other, please explain		0	0%
Total			1	
Other, please explain				


80. Does your agency have an approved records schedule covering electronic messages including: text messages, chat/instant messages, voice messages, and messages created in social media tools or applications that meet the definition of a Federal record?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
Total			1	

86. Does your agency records officer meet regularly (four or more times a year) with the SAO for Records Management to discuss the agency records management program goals?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
Total			1	

87. Is your agency actively working with NARA appraisal staff to schedule all unscheduled paper and other non-electronic records by December 31, 2016?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, all paper and other non-electronic records have been scheduled		0	0%
Total			1	

88. Does your agency have a method of continually identifying new and unscheduled records?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
Total			1	

89. What methods does your agency use to identify new and unscheduled records?

Text Response

The RLOs and records contacts in each program office and region report any new programs or initiatives that may create or receive new series of records to the NRMP. The NRMP also reviews all communications such as progress reports, program office weekly reports, mass mailers introducing new projects, EPA's website and public news sources, looking for instances where new records series might be created or received by EPA staff.


90. Has your agency identified any additional unscheduled records that have not already been reported to NARA?

#	Answer	Bar	Response	%
1	Yes		0	0%
2	No		1	100%
4	Do not know		0	0%
Total			1	

91. Please send to rmselfassessment@nara.gov by January 29, 2016, an updated spreadsheet containing only the newly identified unscheduled records that have not already been reported to NARA. (The spreadsheet was sent to RMSA contacts on November 2, 2015, along with an advanced copy of the questionnaire. Please email rmselfassessment@nara.gov if you did not receive it or need another one.)

#	Answer	Bar	Response	%
1	Sent		0	0%
2	Not Sent		0	0%
Total			0	

92. Does your agency use cloud services?


#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
Total			1	

93. For what purpose(s) is your agency using cloud services? (Choose all that apply)

#	Answer	Bar	Response	%
1	Email		1	100%
2	Administrative functions such as payroll, purchasing, and financial management		1	100%
3	Mission/program-related functions		1	100%
4	Other, please explain		0	0%
5	Do not know		0	0%

Other, please explain

94. Are recordkeeping requirements included?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
Total			1	

95. Will your agency use the new Records and Information Management Series, 0308, (job series) released by the Office of Personnel Management in 2015?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, my agency does not use the General Schedule (GS) job classifications		0	0%
Total			1	

96. Why will your agency NOT be using the new job series?

Text Response

97. In 2015, NARA and the Federal Records Council introduced the Federal RIM Program Maturity Model (<http://www.archives.gov/records-mgmt/prmd.html>). Are you familiar with this or other maturity models?

#	Answer	Bar	Response	%
4	Yes		1	100%
5	No		0	0%
6	Comments: (Optional)		0	0%

Comments: (Optional)

98. Are you using the Federal RIM Program Maturity Model or other maturity models to measure the maturity of the records management program?

#	Answer	Bar	Response	%
1	Yes		0	0%
2	No		1	100%
3	Comments: (Optional)		0	0%

Comments: (Optional)

99. Does your agency use your RMSA scores to measure the effectiveness of the records management program?

#	Answer	Bar	Response	%
1	Yes	<div></div>	1	100%
2	No		0	0%
3	Do not know		0	0%
4	Comments: (Optional) - Please include in your comments how you use the RMSA, if applicable		0	0%
Comments: (Optional) - Please include in your comments how you use the RMSA, if applicable				

100. How many full-time equivalents (FTE) are in your agency/organization? (Choose one)

#	Answer	Bar	Response	%
1	500,000 or more FTEs		0	0%
2	100,000 – 499,999 FTEs		0	0%
3	10,000 – 99,999 FTEs	<div></div>	1	100%
4	1,000 – 9,999 FTEs		0	0%
5	100 – 999 FTEs		0	0%
6	1 – 99 FTEs		0	0%
7	Not Available		0	0%
Total			1	

101. What other staff, offices, or program areas did you consult when you completed this self-assessment? (Choose all that apply)

#	Answer	Bar	Response	%
1	Senior Agency Official	<div></div>	1	100%
2	Office of the General Counsel	<div></div>	1	100%
3	Program Managers	<div></div>	1	100%
4	Information Technology staff	<div></div>	1	100%
5	Records Liaison Officers or similar	<div></div>	1	100%
6	Administrative staff		0	0%
7	Other (please be specific)	<div></div>	1	100%
8	None		0	0%
Other (please be specific)				
The National Records Management Program (NRMP) staff (FTEs and Contractors)				

102. How much time did it take you to gather the information to complete this self-assessment?

#	Answer	Bar	Response	%
1	Less than 3 hours		0	0%
2	More than 3 hours but less than 6 hours		0	0%
3	More than 6 hours but less than 10 hours		0	0%
4	More than 10 hours	<div></div>	1	100%
Total			1	

103. Did your agency's senior management review and concur with your responses to the 2015 Records Management Self-Assessment?

#	Answer	Bar	Response	%
1	Yes	<div></div>	1	100%
2	No		0	0%
3	Do not know		0	0%
Total			1	

104. Please provide your contact information.

Name:	Agency, Bureau, or Office:	Job Title:	Email Address:	Phone Number:
John B. Ellis	Environmental Protection Agency (EPA)	Agency Records Officer	ellis.john@epa.gov	202-566-1643

105. Are you the Agency Records Officer?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
Total			1	

106. Please provide the name of your Agency Records Officer.

Text Response

107. Records Officer's Email Address:

Text Response

108. Records Officer's Phone Number:

Text Response

109. Do you have any suggestions on improving the Records Management Self-Assessment next year?

Text Response

Yes. Several questions raise complex areas of compliance or include compound statements but only allow the choice of "Yes, No or Do not Know" which make it difficult to respond accurately or completely in this simple format. It would be helpful to have a comment field to give an explanation for the answer given as is provided in some, but not all of the questions. These fields could be limited in length which would provide concise reporting to meet NARA's needs but allow agencies to alert NARA to assumptions and conditions that are driving the answers to the questions. For example question 68 asks: "Do employees in your agency have more than one agency-administered email account?" Generally employees have only one account, however there are cases where an employee may have a business need to have access to more than one account. As phrased, the question is presented as an all or nothing - either all employees do or none do. Similarly, question 70 is phrased as an all or nothing question regarding whether an Agency permits use of personal email accounts, where it seems likely that many agencies, including EPA permit use with strict or narrow limitations.

110. Q_URL

Value	Total
/SE/7Q_DL=1YckXAhta2d0VoN_1HsFce0VMjHyIOB_MLRP_9pKDXsZAFuFNMfv&Q_CHL=email	1

111. SSID

Value	Total
-------	-------

112. Score

Statistic	Value
Mean Score	98.00
Score Standard Deviation	0.00
Weighted Mean of Items	0.77
Weighted Standard Deviation of Items	1.28
Items	128.00